

Notice

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Details for Request#: 22071030
Report: Snapshot - Individual
Requested By: PK

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	5363331
Include Personal Information?	No
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes

Individual 5363331 - CHASTAIN, JOY

Administrative Information

Composite Information

Full Legal Name CHASTAIN, JOY

State of Residence

Active Employments <<No Current Active Employments found for this Individual.>>

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5).
Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Registrations with Current Employer(s)

<<No Registrations with Current Employer(s) found for this Individual.>>

Registrations with Previous Employer(s)

<<No Registrations with Previous Employer(s) found for this Individual.>>

Individual 5363331 - CHASTAIN, JOY

Administrative Information

Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

<<No Employment History found for this Individual.>>

Office of Employment History

From 06/2007 To 02/2008

Name LPL FINANCIAL CORPORATION(6413)

Independent Contractor

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	06/13/2007	02/13/2008	Located At
Address ONE BEACON STREET, 22ND FLOOR BOSTON, MA 02108 United States							

Other Business

<<No Other Business found for this Individual.>>

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

<<No Exam History found for this Individual.>>

CE Regulatory Element Status

Current CE Status NOCESTATUS

CE Base Date

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

<<No Next CE found for this Individual.>>

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Requirement Status found for this Individual.>>

CRD® or IARD(TM) System Current As Of: 02/03/2019

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: South Carolina

Request Submitted: 2/4/2019 9:32:25 AM

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Individual 5363331 - CHASTAIN, JOY

Filing History

Date	Type	Submitted by
03/05/2008	NRF Amendment	LPL FINANCIAL LLC (6413)
06/14/2007	NRF Initial	LPL FINANCIAL LLC (6413)

Individual 5363331 - CHASTAIN, JOY

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>
